

COPY

PATENT
0505-4002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Christopher KEITH

Filed: March 8, 2001

Art Unit: 2165

Examiner:

Serial No.: 09/801,848

Confirmation No.: 1156

Title: PLATFORM FOR MARKET PROGRAMS AND TRADING PROGRAMS

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. The items listed on Form PTO 1449, a copy of which is enclosed, may be pertinent to the above-referenced application and are made of record to assist the Patent Office in its examination of this application. The Examiner is requested to fully consider the items and independently ascertain their teaching.

No fee is due since this Information Disclosure Statement is being filed

☒ before the mailing date of a first Office Action on the merits.

Respectfully submitted,

Date: September 14, 2001

260 West 52 St. Ste. 27B
New York, NY 10019
voice/fax 212 245-3940

Brenda Pomerance

Brenda Pomerance
Reg. No. 36,894

COPY

Substitute Form PTO 1449

INFORMATION DISCLOSURE STATEMENT	Application No.	09/801,848
	Filing Date	March 8, 2001
	Inventor	Christopher Keith
	Group Art Unit	2165
	Examiner	TBA
Sheet 1 of 2	Atty. Docket No.	0505-4002

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee	Publication Date MM-DD-YYYY	Relevant text or Figs.
		Number	Kind Code			
	AA	6134535		Belzberg	10-17-2000	
	AB	6105005		Fuhrer	08-15-2000	
	AC	6092056		Tull, Jr. et al.	07-18-2000	
	AD	6035287		Stallaert et al.	03-07-2000	
	AE	6026383		Ausubel	02-15-2000	
	AF	6021398		Ausubel	02-01-2000	
	AG	6018722		Ray et al.	01-25-2000	
	AH	6016493		Rickard	01-18-2000	
	AI	6012046		Lupien	01-04-2000	
	AJ	5987435		Weiss	11-16-1999	
	AK	5978779		Stein et al.	11-02-1999	
	AL	5963923		Garber	10-05-1999	
	AM	5950177		Lupien et al.	09-07-1999	
	AN	5950176		Keiser	09-07-1999	
	AO	5946667		Tull, Jr.	08-31-1999	
	AP	5946666		Nevo et al.	08-31-1999	
	AQ	5941996		Smith	08-24-1999	
	AR	5315634		Tanaka et al.	05-24-1994	
	AS	5924082		Silverman	07-13-1999	
	AT	5826244		Huberman	10-20-1998	
	AU	5806048		Kiron	09-08-1998	

FOREIGN PATENT DOCUMENTS								
Examiner Initials	Cite No.	Foreign Patent Documents			Name of Patentee or Assignee	Publication Date MM-DD-YYYY	Relevant text or Figs.	Trsl. (√)
		Office	Number	Kind Code				
	BA	WO	00/63814	A1	Lava Trading	10-26-2000		
	BB	WO	01/02930	A2	Globenet Capital Corporation	01-11-2001		

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

COPY

INFORMATION DISCLOSURE STATEMENT	Application No.	09/801,848
	Filing Date	March 8, 2001
	Inventor	Christopher Keith
	Group Art Unit	2165
	Examiner	TBA
Sheet 2 of 2	Atty. Docket No.	0505-4002

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	AUTHOR, title, magazine, date, pages, publisher, city where published	Trsl. (v)
	CA	"AuctionBot", 9 pages from http://auction.eecs.umich.edu , printed March 30, 2000	
✓	CB	MAES et al., "Agents that Buy and Sell: Transforming Commerce as we Know It", Comm. ACM, March 1999, vol. 42, no. 3	
✓	CC	WELLMAN et al., "Real Time Issues for Internet Auctions", First IEEE Workshop on Dependable and Real-Time E-Commerce Systems (DARE-98), Denver, CO, June 1998	
✓	CD	WURMAN et al., "Flexible Double Auctions for Electronic Commerce: Theory and Implementation", July 13, 1998, to appear in "Decision Support Systems"	
✓	CE	MERTZ et al., "The Handbook of Investment Technology," Chapters 7, 8, and 15	
✓	CF	KEYES, "Handbook of Technology Financial Services, Chapters 5, 36, 37, 40	
✓	CG	TEWELES et al, "The Stock Market," Chapters 8 and 23	
✓	CH	DALTON, "How the Stock Market Works," Chapters 5 and 7	
	CI	"PeCo-Mediator: finding partners via personal connections," IEEE Int. Conf. on Systems, Man and Cybernetics 1996, vol. 1:802-7 Abstract	
✓	CJ	PROPSON, "The Secret Matchmaker," BUSINESS2.COM, March 6, 2001, pp 90-93	
✓	CK	ARVEDLUND, "An Arranged Exchange," BUSINESS2.COM, February 6, 2001, pp 90-91	
✓	CL	CHANG, "New Age Bidding: Against Computers, Humans Usually Lose," New York Times, January 2, 2001, pages 1-3	
✓	CM	RIJNEN, "Trading Places," Alleycat News, pages 61-73, November 2000	
✓	CN	e-mail from lab_rat@listserv.redherring.com, dated February 8, 2001, Subject: LAB RAT: Smart technology trounces traders, pages 1-5	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--



COPY

098-2165

PATENT
0505-4002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Christopher KEITH

Filed: March 8, 2001

Art Unit: 2165

Examiner:

Serial No.: 09/801,848

Confirmation No.: 1156

Title: PLATFORM FOR MARKET PROGRAMS
AND TRADING PROGRAMS

RECEIVED

SEP 18 2001

Technology Center 2100

CERTIFICATE OF MAILING

I hereby certify that the following attached paper(s) and/or fee

1. Information Disclosure Statement
2. PTO Form 1449
3. Copies of 37 references
4. Return receipt postcard

are being deposited with the United States Postal Service with sufficient postage as first class mail under 37 C.F.R. § 1.8 on the date indicated below in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231.

Date: September 14, 2001

Brenda Pomerance

Brenda Pomerance

CORRESPONDENCE ADDRESS:

Brenda Pomerance
260 West 52 St. Ste. 27B
New York, NY 10019
212 245-3940